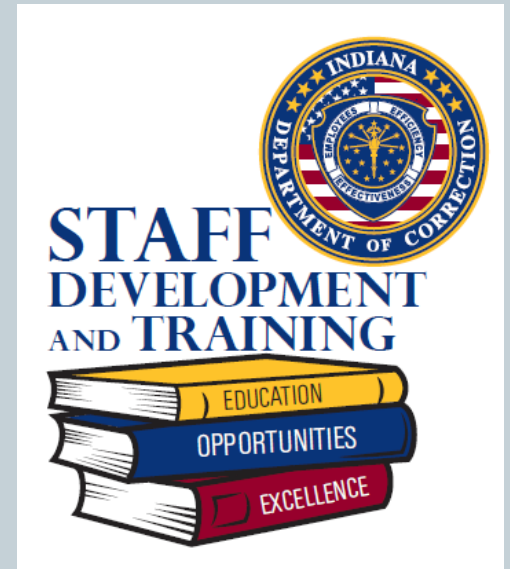


# Performance Management



## STAFF DEVELOPMENT & TRAINING



# Performance Objectives



- Identify the definition of Performance Management.
- Identify the Performance Management process.
- Identify the supervisor's role in Performance Management.
- Identify the employee's role in Performance Management.
- Gain knowledge about each section of the Performance Appraisal and Work Profile.
- Identify the times when to use discipline.
- Identify the evaluation ratings and the criteria needed to reach each level.



- As a responsible supervisor you will be required to manage a wide variety of employee's performances. Your action or inaction sets precedents for future results. When a supervisor observes something wrong and then chooses to not correct the issue they set the new standard.
- Poor supervision results in complacency and staff members to have inefficient work ethics. A few hardworking individuals will resent those who do not do their part. Effective performance management can resolve this issue. A good supervisor enhances an employee's performance.

# What is Performance Management?



- It is a process for aligning individuals performance with the Department's mission, objectives, and vision.
- To be effective, employees must understand how their work contributes to the success of the organization.
- The Department recognizes that the success of the organization depends on individual employees meeting their objectives.
- Successful implementation of performance management will enable agencies to create and sustain a performance-based, high-achieving culture.

# What is the Supervisor's role?



- Measuring an employee's performance
- Addressing performance deficiencies
- Motivating an employee to meet or exceed their goals

# What is the Employee's role?



- Participating in all phases of the performance management process to include: understanding their performance expectations, how the Competencies and Performance Expectations/Goals will be measured, how the Performance Expectations/Goals relate to the Department strategic objectives.
- Performing their work in a way that meets or exceeds Competencies and Performance Expectations.
- Communicating successes and problems to their supervisors to assist their supervisor in measuring their progress.
- Asking questions about their job, performance expectations and the performance measures whenever they need clarification or additional information.

# Methods of Performance Management



There are two specific methods to address the job performance of an employee, both positive and negative. They are:

- Verbal Redirection
- Written Documentation

# Verbal Redirection



- The easiest way to manage an employee's positive and negative performance is through simple verbal redirection.
- Telling an employee how well of a job they are doing can effect their overall job performance.
- This should be the first step taken when you notice an employee not performing to standards and should be done as soon as you observe the poor performance.

# Written Documentation



There are four ways to document an employee's job performance in a written format. They are as follows:

- Fact File Entries
- Letter of Counseling
- Letter of Reprimand
- Request for Discipline

# Written Documentation (continued)



## Fact File Entries

Serves as the first step in written documentation. It is used to document negative performance, positive performance, or to document verbal redirections. A fact file entry can be useful in documenting that you have informed an employee of a policy/procedure change or the implementation of a new policy/procedure.

## Letter of Counseling

The second step of written documentation. This performance management tool will describe the negative performance of the employee and include the needed corrective measures. This will assist that employee to better understand what needs to be corrected and how to accomplish it.

# Written Documentation (continued)



## Letter of Reprimand

This is the third step of written documentation for negative performance. This should be used when verbal redirection, fact file entries and letters of counseling have failed.

## Request for Discipline

This is the final step of written documentation for negative performance. This is usually a precursor to termination of employment. Once this is completed, a meeting will be arranged with administrative staff and the employee to discuss the employee's job performance.

# Times to use discipline



The types of discipline will vary depending on the violation. The times to use the discipline are as follows:

- Doing of an act which a person should not to do.
- The omission of an act which a person should do.
- The improper doing of a permissible act.

# The Performance Management Process



The entire Performance Management Process has three (3) steps:

**Step 1** – Work Profile

**Step 2** – Fact Files

**Step 3** – Performance Appraisal

In the following slides, each one will be covered in more detail.

# Work Profile



- This is completed at the beginning of the review period. If they start employment after the beginning of the review period, the supervisor will complete the Work Profile within the first month of being assigned that employee.
- The supervisor tracks the employee's progress toward achieving the goals and the performance expectations throughout the review period.
- Halfway through the review period the supervisor and employee will meet to discuss the progress towards those goals and the performance expectations. This is the opportunity to make any adjustments needed and also is the opportunity to discuss their overall performance.

# Work Profile (continued)



- The information discussed during this meeting should be documented in the employee's fact file in order to show any changes made.
- The Work Profile lays the foundation for the Appraisal at the end of the year.
- Every other step in the Performance Management System is dependent upon a Work Profile being completed. A good Work Profile will help you determine and communicate to the employees how their performance is being measured.
- The Work Profile is completed on the same form as the Performance Appraisal Report and should include the Competencies the employee's performance will be measured throughout the year.

# Fact Files



A Fact File is a regular, ongoing record of communication to the employee regarding their performance.

The primary purpose of a Fact File is to create a record of the employee's performance. A few examples are:

- Tell the employee what they do well.
- Document what issues you have addressed with the employee.
- Create a record that you have explained changes in policy and/or procedure to the employee.
- Share the feedback you are getting from co-workers, other supervisors, etc., about that employee.
- Communicate to the employee what is important to the work team, the facility, and the Department.

# Why keep a fact file?



- Your ability to accurately recall one employee's performance is approximately 6 to 8 weeks.
- It serves as a Performance Management Tool.
- It allows you to give regularly scheduled feedback, positive & negative, regarding your employees' performance, which is perceived by most employees to be constructive.
- In some cases, it demonstrates that you have addressed issues with the employee in an effort to improve their performance and this is essential if you want to hold your employees accountable for their performance.

# How often do you record entries in a Fact File?



There are two options for making entries:

- ASAP – creating an entry immediately after an incident/event occurs
- On a Schedule – creating entries on a weekly, bi-weekly, or monthly basis.

Past practice has been to advocate the ASAP Method, however, this has been generally ineffective. Most complete Fact Files have been created by managers who habitually log entries on a regular schedule.

The best practice is to record entries every 2 weeks but the standard is once a month.

# The Characteristics of a good Fact File entry



- A Fact File entry should be:
  - Factual
  - Not an opinion
  - Behavioral related
  - Job related
- It is used to document the level of performance and captures the quality, quantity, timeliness, and uniqueness of performance.
- Best case is that the Fact File Entry corresponds directly to a Work Profile Goal or Competency.

# Performance Appraisal



- This appraisal should reflect the feedback the employee has been receiving throughout the review period. In most cases, the employees who are not meeting expectations or who need improvement in specific areas, have been piling up sufficient documentation throughout the year. There should be no surprises to the employee.
- A meeting with the employee is necessary to collect any information about their accomplishments that has not already been documented.

# Performance Appraisal (continued)



- Gather all supporting information that will assist you in completing this evaluation. Also ask other supervisors that directly worked with that employee, their opinion of the employee's job performance,.
- The following documents are required to complete an accurate appraisal:
  - Work Profile
  - Fact File
  - Disciplinary Records
  - Training Records
  - Any Interim Performance Appraisals
  - The Behaviorally Anchored Ratings Scale (BARS) Guide
  - Any emails, memos or other communication records related to their job performance.

# Performance Appraisal (continued)



- After reviewing all supporting documentation and factual information, the supervisor is now ready to begin rating the employee for each Performance Expectation and Competency using the ratings of Exceeds Expectations, Meets Expectations or Does Not Meet Expectations.
- You are required to supply a narrative to support your rating. This is done by making reference to the gathered facts of the employee's job performance throughout that review period.
- These narratives should be very objective because these are fact based. Objective means -- Not influenced by personal feelings, interpretations or prejudice; based on facts; unbiased. In other words don't include your personal opinions or feelings in an employee's Performance Appraisal.

# Performance Appraisal (continued)



- Once the appraisal is completed by the evaluator, it will be forwarded to the reviewer. The reviewer is generally the immediate supervisor of the evaluator or a member of the Personnel Department staff.
- It will then be forwarded to the Appointing Authority (Facility Head or designee) for the final review and approval.
- Do not share the appraisal with the employee until instructed to do so. Until all necessary approvals are received the rating is not finalized.

# Performance Appraisal (continued)



- An “Interim Performance Appraisal” is completed as needed during the review period for communication purposes or to re-evaluate an employee’s performance plan.
- These should be completed when the following instances occur:
  - An employee transfers
  - Demotes or promotes, thus resulting in a move to a new supervisor.
  - An employee takes a leave of absence in excess of thirty (30) calendar days. It would be completed and reflect their performance at the time the employee leaves.
  - The employee completes a Work Improvement Plan

# Performance Appraisal (continued)



- If an employee receives the rating of “Does Not Meet Expectations” on a key Performance Expectation or Competency, the supervisor should implement a Work Improvement Plan.
- A Work Improvement Plan is an explicit action plan designed to correct performance deficiencies within a specified time period.
- If anytime during the review period you observe an employee performing below expectations, a work improvement plan should be completed. By completing this form, you not only notify the employee they are performing below standard but you give them the opportunity to improve.

# Performance Appraisal (continued)



- The same form is utilized for both the Work Profile and the Performance Appraisal. That is State Form 52403 “Employee Work Profile and Performance Appraisal Report”
- This form is made up of the three following sections:
  - A. Competencies
  - B. Performance Expectations and Goals
  - C. Employee Development Plan

The following slides will cover each section in more detail.

# Performance Appraisal

## “Competencies”



- Your role in this section is to explain the Competencies to the employee. These should include the behaviors, skills and abilities required for success and relate to their position.
- Employees must be evaluated on the three (3) required Competencies and the additional agency determined discretionary Competencies. The required Competencies are Job Knowledge, Customer Service, and Teamwork.
- The department utilizes 4 sets of Competencies. Executive and Senior Management; Supervisory and Managerial; Non-Supervisory Professional; and Non-Supervisory Non-exempt
- If you do not know which set of Competencies to use, please consult your facility HR representative.

# Performance Appraisal

## “Performance Expectations and Goals”



- Performance Expectations are a set of criteria by which an employee's performance will be evaluated, expressed as outcome-based, measurable goals or objectives.
- A goal is a statement of a specific work-related achievement to be accomplished within a specified time frame and/or with certain levels of quality and/or producing a specific quantity of work.
- It is not a job description. But you can take a job description or a description of an important duty and build on that to create an acceptable Goal.
- The supervisor and employee will meet to establish a set of goals to achieve. These goals should be SMART – Specific, Measurable, Achievable, Relevant and Timely.

# Performance Appraisal

## “Employee Development Plan”



When completing the Work Profile you must ensure “Section C – Employee Development Plan” is completed in its entirety. This should be developed based on discussions that you have had with the employee regarding the following:

- **The employee’s level of performance** – are there areas of the employee’s performance that can be positively impacted by training resulting in the employee working at a “Meets” or “Exceeds Expectations” level?
- **The employee’s career plans** – can we help the employee develop professionally by ensuring that they have the knowledge, skills and abilities necessary to achieve their career goals?
- **The Department’s, facility’s, or unit’s needs** – does your workgroup have the skill-set necessary to perform all the functions required? Do you have trained back-ups for all your positions?

# Performance Appraisal

## “Behaviorally Anchored Ratings Scale”



- The Behaviorally Anchored Ratings Scale (BARS) is a very important tool to utilize throughout the entire Performance Management Process. It is the set of observable or measurable behaviors against which employees are evaluated to measure performance on the Competencies established in the work profile.
- As the supervisor, you should apply the information and facts you have to the BARS standards. Utilizing the BARS standards, you can review the represented behaviors and place check marks next to those that match the employee's job performance.
- The BARS is located on the State Personal Website at:  
<http://www.in.gov/spd/2394.htm>

# Performance Evaluation Ratings



There are five (5) rating levels a supervisor will use when rating an employee's overall performance.

## Outstanding

An employee who receives ratings of “Exceeds” expectations for all competencies and performance expectations

## Exceeds Expectations

An employee who receives ratings of “Exceeds” Expectations in the competency Job Knowledge & Skill and a minimum of at least two (2) or more significant Performance Expectations and no ratings of “Does Not Meet” expectations, the employee may receive an overall rating of “Exceeds” expectations.

# Performance Evaluation Ratings (continued)



## Meets Expectations

This rating is given to employees who (1) are fully successful in meeting all of the performance expectations/goals that are important to his or her job and (2) will have demonstrated a satisfactory competence in the Competencies.

## Needs Improvement

This rating is given to employees who sometimes perform at an acceptable level, but are not consistent and need improvement to meet expectations. When an employee receives this as their overall Performance rating, a Work Improvement Plan would be required.

# Performance Evaluation Ratings (continued)



## Does Not Meet Expectations

This rating is given to employees who fail to achieve any one or more key performance expectations/goals or cannot demonstrate proficiency in the Competencies needed for the job. When an employee receives this as their overall Performance rating, a Work Improvement Plan would be required.

# Effects of Performance Management



- A supervisor must document both positive and negative performance. If the employee feels that you never have anything positive to say, they will eventually stop listening and their job performance will decrease.
- Supervisors should verbally tell an employee that they are doing a good job and should document the positive performance in their fact file. By acknowledging and documenting the employee's positive performance, it assists in more than one way. First it boosts the employee's drive to excel and second it makes it easier to complete their Annual Performance Appraisal.

# Effects of Performance Management (continued)



- Well written and specific Fact File entries assist when completing the Performance Evaluation at the end of the year. Also by utilizing the BARS guide when completing these Fact Files will also help tremendously.
- Negative behavior and job performance should be documented utilizing the progressive discipline process. Depending on the severity of the violation steps can be skipped; however, this is at the discretion of your supervisor.

# Summary



As a supervisor you will have the authority to document both negative and positive behavior. Your actions can affect the entire facility. By completing the Performance Management process completely and properly you will gain the respect of the staff you supervise. You will also have the opportunity to change and improve the Indiana Department of Correction.

This process was created to ensure all staff receive a fair and accurate performance appraisal.